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TRANSMITTAL
FORM

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|---------------------------|-------------------|
| Application Serial Number | 10/642,509 |
| Filing Date | August 18, 2003 |
| First Named Inventor | Sellers |
| Group Art Unit | 2632 |
| Examiner Name | Not yet assigned. |
| Attorney Docket No. | ASX-064 |
| Patent No. | Not applicable |
| Issue Date | Not applicable |

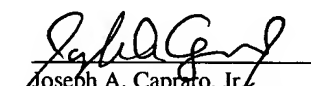
ENCLOSURES (check all that apply)

| | | |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553) <input type="checkbox"/> Formal Drawing(s) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) |
| <input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets _____] | <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 |
| <input type="checkbox"/> Petition for Extension of Time | <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application | <input type="checkbox"/> Additional Enclosure(s) (please identify below) |
| <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copy of IDS Citation Labeled B1 | <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> Amendment After Allowance | |
| <input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate) | |

CORRESPONDENCE ADDRESS

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SIGNATURE BLOCK

Respectfully submitted,

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Reg. No.: 36,471
Tel. No.: (617) 526-9800
Fax No.: (617) 526-9899



PATENT
Attorney Docket No. ASX-064

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Sellers GROUP NO.: 2632
SERIAL NO.: 10/642,509 EXAMINER: Not yet assigned.
FILING DATE: August 18, 2003
TITLE: CONTROL OF PLASMA TRANSITIONS IN SPUTTER PROCESSING
SYSTEMS

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 19th day of August, 2004.


Olivia J. Mannion

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are: Transmittal Form (1 page); Information Disclosure Statement (2 pages); Form PTO-1449 (2 pages); Reference Labeled B1; and a return-receipt postcard.



PATENT
Attorney Docket No. ASX-064

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Sellers GROUP NO.: 2632
SERIAL NO.: 10/642,509 EXAMINER: Not yet assigned.
FILING DATE: August 18, 2003
TITLE: CONTROL OF PLASMA TRANSITIONS IN SPUTTER PROCESSING
SYSTEMS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), only copies of the foreign patent documents and non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R., this statement is being filed (check one)

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a final action or notice of allowance but before the payment of the issue fee, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT


As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

Date: August 19, 2004
Reg. No.: 36,471

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FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET NO.: ASX-064

APPLICANT: Sellers

SERIAL NO.: 10,642,509

FILING DATE: August 18, 2003

GROUP: 2632

U.S. PATENT DOCUMENTS

| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|----------------|-----|--------------------|----------|-------------------|-------|--------------|-------------------------------|
| | A1 | 4,902,394 | 02/20/90 | Kermotsu et al. | 204 | 192.12 | 01/20/88 |
| | A2 | 4,996,646 | 02/26/91 | Farrington | 364 | 483 | 03/31/88 |
| | A3 | 5,166,887 | 11/24/92 | Farrington et al. | 364 | 483 | 01/28/91 |
| | A4 | 5,170,360 | 12/08/92 | Porter et al. | 364 | 483 | 12/07/90 |
| | A5 | 5,505,835 | 04/09/96 | Sakaue et al. | 204 | 192.26 | 02/22/94 |
| | A6 | 5,554,809 | 09/10/96 | Tobita et al. | 73 | 700 | 10/05/94 |
| | A7 | 5,584,974 | 12/17/96 | Sellers | 204 | 192.13 | 10/20/95 |
| | A8 | 5,616,224 | 04/01/97 | Boling | 204 | 298.08 | 05/09/95 |
| | A9 | 5,645,698 | 07/08/97 | Okaro | 204 | 192.12 | 08/25/94 |
| | A10 | 5,651,865 | 07/29/97 | Sellers | 204 | 192.13 | 06/17/94 |
| | A11 | 5,664,066 | 09/02/97 | Sun et al. | 395 | 23 | 09/09/94 |
| | A12 | 5,711,843 | 01/27/98 | Jahns | 156 | 345 | 02/21/95 |
| | A13 | 5,718,813 | 02/17/98 | Drummond et al. | 204 | 192.12 | 04/02/93 |
| | A14 | 5,729,119 | 03/17/98 | Barbour | 323 | 222 | 06/28/96 |
| | A15 | 5,759,424 | 06/02/98 | Imatake et al. | 216 | 60 | 03/22/95 |
| | A16 | 5,770,023 | 06/23/98 | Sellers | 204 | 192.3 | 02/12/96 |
| | A17 | 5,796,214 | 08/18/98 | Nerone | 315 | 209 R | 09/06/96 |
| | A18 | 5,810,982 | 09/22/98 | Sellers | 204 | 298.08 | 09/30/96 |
| | A19 | 5,831,851 | 11/03/98 | Eastburn et al. | 364 | 167.01 | 03/21/95 |
| | A20 | 6,001,224 | 12/14/99 | Drummond et al. | 204 | 192.12 | 09/29/95 |
| | A21 | 6,020,794 | 02/01/00 | Wilbur | 333 | 17.1 | 02/09/98 |
| EXAMINER | | | | DATE CONSIDERED | | | |

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|--|---|------------------------|-------------|-------------------------------------|------------------------|------------------|-----------------------------------|----------------------|---------------------------|
| FORM PTO - 1449 | | | | ATTY DOCKET NO.: ASX-064 | | | | | |
| INFORMATION DISCLOSURE STATEMENT | | | | APPLICANT: Sellers | | | | | |
| | | | | SERIAL NO.: 10/642,509 | | | | | |
| | | | | FILING DATE: August 18, 2003 | | | | | |
| | | | | GROUP: 2632 | | | | | |
| U.S. PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE | | |
| | A22 | 6,291,999 | 09/18/01 | Nishimori et al. | 324 | 464 | 09/30/98 | | |
| | A23 | 6,521,099 | 02/18/03 | Drummond et al. | 204 | 192.12 | 09/25/00 | | |
| | A24 | 6,524,455 | 02/25/03 | Sellers | 204 | 298.08 | 10/04/00 | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUNTRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTRACT ONLY | ENGLISH LANG (Y/N) |
| | B1 | 7-188919 | 07/25/95 | JP | | | | NO | NO |
| OTHER ART, JOURNAL ARTICLES, ETC. | | | | | | | | | |
| EXAM. INIT. | OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication) | | | | | | | | |
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| EXAMINER | | | | | DATE CONSIDERED | | | | |